

**Missouri Department of  
Natural Resources  
Administrative Policies and Procedures**

**Chapter 4 Employment**

**Performance Management**

**Effective date**

**Revised**

**Number: 4.03**

**February 1, 2008**

**September 27, 2010**

Every employee plays an important role in making the department the best it can be. To make sure all spend their time and energy doing the work that has the most positive impact, we must continually ask ourselves, what do we need to do and how should we do it? To aid in this, staff at the Department of Natural Resources will have performance plans. Those with at least 12 months of service with the agency on January 1 will receive an annual performance appraisal.

**REFERENCES**

Section 36.340, RSMo

1 CSR 20-3.050

PERforM guidance

**Related DNR policies**

Employee Records 1.03

Progressive Discipline 1.08

Hiring and Promotions 4.01

DNR Strategic Plan

[www.perform.mo.gov](http://www.perform.mo.gov)

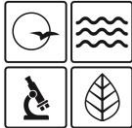
**DEFINITIONS**

*Official personnel file or official file:* The file maintained by the Human Resources Program which is the official record concerning employment events or actions for an employee of the department.

*Performance appraisal:* An evaluation of an employee's attainment of planned activities, deliverables and due dates, typically over the course of a year.

*Performance discussion:* A documented discussion held between a supervisor and an employee about the employee's performance plan.

*Performance plan:* An outline including the priority work, deliverables and activities required of an employee during a specified timeframe.

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*Probationary period:* The period of time during which an employee demonstrates the ability to perform the duties of the new position received either as an original appointment or a promotion. The length of the probationary period is 6 or 12 months as determined by the position. Merit rules and department policy allow for probationary periods to be reduced or extended.

*Rater:* The employee's supervisor.

*Reviewer:* The employee's supervisor's supervisor.

*Supervisor:* The employee who directly supervises the work of another employee such as approving time sheets/leave requests or conducting performance appraisals.

*Transfer:* Changing a position or job within the department while keeping the same job classification.

## **GENERAL PROVISIONS**

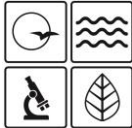
Each employee will receive a written performance plan within the first 2 weeks of beginning work.

The annual performance appraisal ratings shall be conducted between January 1 and March 31. A more detailed timetable is identified later in this policy. Performance appraisals will only be delivered to employees after the division/department review process is complete. Performance ratings may be conducted more frequently but no other appraisal shall replace the annual performance appraisal. Supervisors and employees will meet in person and discuss the annual performance appraisal.

Employees may rebut the performance appraisal rating by responding to the reviewer and reviewer's supervisor with additional information within 5 working days. If the appraisal is upheld, the employee will receive a written response from the reviewer which at a minimum, will acknowledge the employee's concern and provide the final determination that the rating was upheld. This response should be provided within 5 working days. Performance appraisals are not grievable.

The Productivity, Excellence, and Results for Missouri (PERforM) system will be used to facilitate the development of annual performance objectives, and provide electronic storage and reporting of employee performance records.

Supervisors are required to adequately document performance of employees at regular intervals. Documentation is required to justify outstanding and exceptional performance, just as it is needed to justify a rating of needs improvement.

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The department will adhere to the percentage distribution cap established by the state. Each division is responsible for appropriately and consistently rating employee performance within the cap. The department and each division will review overall performance appraisal rankings for the appropriate administration of any compensation package and compliance with the percentage distribution cap.

### **Performance components**

Employees are rated based on statewide performance components. All employees will be rated on:

- Knowledge of work
- Quality of work
- Situational responsiveness
- Initiative, and
- Dependability

Employees in supervisory and managerial positions will be rated on 3 additional components:

- Performance planning and documentation
- Leadership skills, and
- Management skills


The supervisor, in conjunction with the employee, will develop performance plan for each calendar year.

**Appendix A** contains more information on each component and suggested guidelines for the development of a performance plan.

Performance objectives shall be consistent with the mission of the department, the specific requirements of the employee's position and will reflect performance at a successful level. A standardized system provided by the Office of Administration, will be used to calculate the final performance rating.

### **Performance planning**

All department employees working more than 50% full time (at least 20 hours per week), working on a permanent basis, with 12 months of service by January 1<sup>st</sup> will have a performance plan for the year January to December. Each plan will have at least one performance objective (typically 3-7 objectives) for each required performance component. The supervisor drafts the objectives using the guidelines outlined in **Attachment 1**. The objectives must focus on position specific assignments, tasks, goals, or projects that the employee is expected to complete during the appraisal period and consistent with the department's goals and mission. The Human Resources Program has developed Standardized Performance Objectives for employees and supervisors outlined in **Attachment 4 and 5**.

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The supervisor and employee should use the information contained in the Position Description Form and the class specification for the employee's position to assist in the development of the performance objectives. A performance plan is developed each year, more frequently if performance objectives significantly change. Performance objectives can be modified anytime during the appraisal period. If objectives are modified, a new performance plan document is printed and signed by the employee, supervisor and reviewer.

Each objective must be clearly stated to ensure that both the employee and the supervisor have a clear understanding of what is necessary to achieve or exceed a successful rating for each performance component. The supervisor enters the objectives into the PERforM system. The reviewer provides feedback to the supervisor and signs the performance plan. After the review, the supervisor and employee discuss the final performance plan. The supervisor and employee document this communication by signing the performance plan document generated by the PERforM system. The supervisor then indicates in PERforM that the plan is complete.

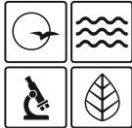
The signed performance plan is to be maintained by the supervisor and the employee receives a copy. The performance plan should be reviewed by both the supervisor and employee throughout the rating period.

#### ***Discussion about performance plan during the year***

Each employee and supervisor should discuss progress on the employee's performance plan at least once during the year. This discussion can certainly be more often, and should be if:

- A major environmental event;
- priorities change;
- workload changes;
- the employee's position title is reallocated;
- job duties have changed;
- the immediate supervisor has changed; or
- the employee has exhibited undesirable conduct.

The evaluation of an employee's performance should be based on continuous observation, feedback, and documentation during the appraisal period. The supervisor should reinforce desirable conduct of employees by recognizing and praising positive behavior. Undesirable conduct should be dealt with in a timely manner so that performance improves quickly. The supervisor should address undesirable conduct by describing conditions in which an employee's behavior has affected performance and be specific about required improvement. Specific work-related conduct and behavior (undesirable and desirable) should be

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recorded. Documented instances on performance logs should not be a surprise to the employee. If the performance is undesirable, the employee should be made aware, so that the behavior can be corrected.

Observations should identify positive and negative changes in job performance, conduct, and work habits. Appraisals document work performance rather than personal characteristics. Adequate documentation to support a rating of outstanding or exceptional performance rating shall be provided to the reviewer prior to approval.

Employees should take an active role in their performance by keeping the supervisor informed of changes in workload, priorities or other instances that may affect their rating.

The supervisor and employee should frequently document performance and performance discussions so that the annual performance appraisal will capture the overall performance of the employee, rather than observations closer to the time of the appraisal.

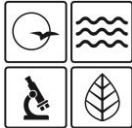
Performance objectives can be modified anytime during the appraisal period. Supervisors and employees should discuss the changing objectives. Any time objectives are modified, the changes are made in PERforM, and the new performance plan document is printed and signed by the employee, supervisor and reviewer.

If, at any time during the year, an employee's performance is less than expected, the supervisor and employee should discuss what must be done to improve performance. If the supervisor or employee feels the circumstances dictate, the supervisor should prepare a special performance appraisal and develops a performance improvement plan (**Attachment 2**) to help improve job performance. Special appraisals should focus on the primary area/s of improvement, but must contain one objective for each component. Any revised or new objectives set in the special performance appraisal should address the employee's undesirable behavior and outline the specific improvements the employee needs to achieve a successful rating. However, a special performance appraisal does not override the performance objectives established for the employee on the primary performance planning document used to conduct his or her annual performance appraisal.

### **Performance Appraisals**

There are three types of performance appraisals:

- Annual
- Probationary
- Special

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The employee and the supervisor will agree on a time and place to meet for the performance appraisal discussion. Both are required to attend. Reviewers may participate as desired, most likely in the case of a special performance appraisal.

PERforM will allow one active performance appraisal at a time per appraisal type. These limitations are intended to decrease any confusion the employee may have in determining which objectives are expected to meet.

Employees' overall performance ratings may be used as a factor in determining personnel decisions such as:

- Identifying developmental needs/opportunities for employees;
- Identifying employees for promotions;
- Eligibility for within-grade salary advancements;
- Order of layoff and/or reinstatement from layoff;
- Re-employment; or
- Potential disciplinary action.

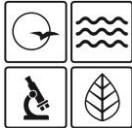
### ***Annual performance appraisal***

All department employees working more than 50% full time (at least 20 hours per week), working on a permanent basis, with 12 months of service by January 1<sup>st</sup> will have an annual performance appraisal. The appraisal will occur between January 1st and March 31st of each year. If there has been a change in supervisors during the year, new supervisor will coordinate with the past supervisor on a combined performance appraisal (within DNR only). Annual performance appraisals are an official record of the employee's performance.

### ***Exemptions***

If insufficient information exists to determine the rating of the employee on all components, the employee may be exempted from an annual appraisal. Situations where insufficient information may exist include:

- official leaves of absence (such as military leave), or
- employee is unable to meet major job components (such as being responsible for a job duty, but hasn't been assigned the work)
- An employee who transfers from one agency to another should have a minimum of six (6) months of service in the new agency to receive an annual appraisal. Employees with less than six (6) months of service in the new agency will be exempted from the annual appraisal unless special circumstances exist.

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If an employee is exempted from the annual performance appraisal, the supervisor notifies the employee and the employee's appraisal status is changed to "exempt" in PERforM. Supervisors should consult with the reviewer, division, and Human Resources to determine if insufficient information exists to provide staff with an annual performance appraisal. An employee exempted from one annual appraisal will receive the next regularly scheduled annual appraisal, unless different circumstances evolve where the employee is again exempted. However, every effort should be made to ensure that every employee's performance is appraised within a year's timeframe.

If an employee in regular status objects to being exempted from the annual appraisal, the supervisor may conduct a special appraisal after sufficient knowledge of the employee's performance is obtained. The employee should be notified of the date his/her special appraisal will occur. Conducting special appraisals will emphasize the importance of the components and objectives to the employee, foster communication with the employee, and provide a baseline for the next annual appraisal. The employee should understand that the special appraisal does not replace the annual appraisal.

### ***Probationary performance appraisal***

A supervisor will provide a staff member a performance appraisal prior to the completion of a probationary period.

If the employee has 12 months of service with DNR as of January 1, and the probationary performance appraisal is to be conducted in January, February or March, it should be conducted as an annual performance appraisal. Otherwise, the appraisal should be conducted as a probationary performance appraisal.

If the employee has not successfully completed probation, the Human Resources Program must be contacted one month before the end of the standard six (6) month probationary period.

### **Special performance appraisals**

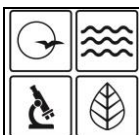
Special performance appraisals should be provided under the following circumstances:

- Upon resignation;
- Upon transfer from one division to another;
- When the employee's supervisor changes; or
- An employee objects to exemption for an annual performance appraisal. The special appraisal will occur after sufficient knowledge of the employee's performance is attained.

Special performance appraisals must be provided under the following circumstances:

- In coordination with the performance improvement plan;





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- Accompanying progressive discipline, dismissal, or demotion for cause; or
- Any time when the employee's performance substantially changes.

A special performance appraisal does not replace the annual appraisal.

Appraisal for seasonal and temporary employees

Each division can determine the extent to which seasonal and temporary employees' performance is documented. These employees are not required to have an appraisal in the PERforM system.

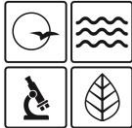
At the end of a seasonal or temporary appointment the supervisor will provide a statement on the Position Employee Action Request (PEAR) regarding the employee's job performance and whether or not they are recommended for a future appointment. This information should be reviewed at the time hiring consideration is given the former employee.

**The annual performance appraisal process**

The supervisor appraises an employee's performance for each component, with respect to the objectives, on a scale of 1 to 10. A rating of 10 indicates an employee not only met the objectives for that component, but did so in manner that significantly improved the efficiency and/or productivity of the department. A rating of 1 for any component indicates an employee failed to fulfill any of the objectives. The following chart identifies component rating guidelines and performance ratings:

Rating	Component Rating Guidelines									
	○ 1	○ 2	○ 3	○ 4	○ 5	○ 6	○ 7	○ 8	○ 9	○ 10
Using observation, documentation and feedback relevant to the employee's performance during the appraisal period, determine which of the following ratings is appropriate for each component?	<b>Needs Immediate Improvement</b>		<b>Development Area</b>		<b>Shows Appropriate Ability</b>		<b>Shows Strength</b>		<b>Shows Exceptional Skill</b>	
	The employee consistently failed to meet few – if any objectives for the job component.		The employee met some of the stated objectives for the job component – but sometimes fell short of others.		The employee met most if not all of the stated objectives for the job component.		The employee met most and exceeded many of the established objectives for this job component.		The employee consistently exceeded all stated objectives for this job component.	
	Needs Improvement		Successful		Outstanding		Exceptional			



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Based on an average of the employee's combined rating for all of the components, he or she will be assigned an overall performance rating level:

- Exceptional (greater than or equal to 9.0)
- Outstanding (greater than or equal to 7.0 but less than 9.0)
- Successful (greater than or equal to 4.0 but less than 7.0)
- Needs improvement (Less than 4.0)

Once the supervisor finishes the performance appraisal, it will be submitted to his or her immediate supervisor (the reviewer) for approval. The reviewer can approve or disapprove the appraisal and recommend any necessary changes to the supervisor. The division must approve the final appraisal ratings before being shared with the employee. The approved performance appraisal is discussed with the employee along with any applicable documentation. The employee must sign the appraisal at the time it is presented to acknowledge the rating discussion occurred. Signing the appraisal does not indicate agreement with the rating, and employee has the ability to rebut the appraisal. A copy of the signed document is also provided to the employee.

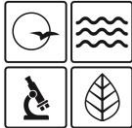
Once the performance appraisal is complete, the supervisor changes the appraisal status to "Complete" in PERforM.

If an employee disagrees with a performance rating, he/she may submit a written statement describing why within 5 working days of receiving the appraisal. This statement is considered by the reviewer and reviewer's supervisor to determine if the rating should be overturned or upheld.

If the appraisal is upheld, the employee will receive a written response from the reviewer which at a minimum, will acknowledge the employee's concern and provide the final determination that the rating was upheld. This response should be provided within 5 working days.

If the reviewer and supervisor agree with the employee, the supervisor will change the appraisal status in PERforM to "Overturned" and will require the reviewer's approval. The reviewer will respond to the employee in writing indicating that the appraisal has been overturned and a new appraisal will be completed to replace the original rating.

Any rebuttals and the response will be filed with the employee's appraisal as a permanent record. The PERforM system is capable of electronically attaching supporting documents to an appraisal. If rebuttal documents do not get attached electronically in the PERforM system by March 31<sup>st</sup>, Human Resources will scan the information into the employees electronic personnel file and a note is to be made on the employees' next appraisal that previous years appraisal documents can also be found in the employees personnel file.

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### **Timeline for completing performance appraisals**

The annual appraisal process must be completed by March 31<sup>st</sup>. Each division is responsible for identifying internal deadlines to meet the following time table:

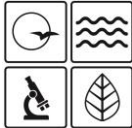
Deadline	Action
January 31	All performance appraisals complete for division and department review and approval
January 31 - February 15	Program Director Review
February 15 - 22	Division review and approval
February 22-28	Department review and approval
March 1-17	Supervisors meet with employees and deliver performance appraisals
March 17 –30	Rebuttal Process time (5 working days for employee to submit rebuttal and 5 working days for supervisor to respond)
March 31	PERforM process complete
March 31	Performance objectives due and delivered to employees for next year.

If a supervisor is absent for a significant portion rating period, the reviewer will conduct the performance appraisals for that supervisor. The responsibility for completing and reviewing performance appraisals continue up the chain of command until met.

### **The probationary and special performance appraisal process**

The process for these two types of appraisals is the same as for the annual performance appraisal, except the timing differs.

Questions concerning this policy should go first to your supervisor, then through the chain of command. The Human Resources Program may also be of assistance in interpreting the Performance Management Policy.

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## Attachment 1

### Performance Plans

Typically there are three types of performance objectives: routine, project, and developmental.


- Routine objectives are based on usual tasks or assignments that the employee is expected to do on a regular basis. These objectives are typically consistent from one appraisal period to the next and are part of the employee's day-to-day processes.
- Project Objectives are based on specific assignments that have been accomplished or that meet a specified stage of completion during the appraisal period. These objectives usually change significantly or are replaced from one appraisal period to the next. In some cases, project objectives may evolve to become routine objectives in later appraisal periods after a project has surpassed the implementation phase.
- Developmental Objectives are chosen to enhance the employee's performance and prepare the employee for future positions and growth within the organization. Supervisors and employees should work together to determine if or when developmental objectives should be part of the employee's performance plan.

There are five performance components for every employee's performance plan. Managers and supervisors have an additional 3 components. Following is a description for each component and guidelines for developing performance objectives for that component.

**Knowledge of work** addresses the employee's technical knowledge of the required job functions as well as the general understanding of the policies, procedures and processes as they relate to the overall mission of the department. This component should address the employee's ability to obtain new skills and further develop existing skills through attending and successfully completing optional or required training as well as the employee's ability and willingness to share knowledge with team members.

#### Guidelines for developing performance objectives

- > Successfully completes formal training sessions or fulfills prescribed continuing education requirements.
- > Trains other staff on policies and procedures or use of equipment.
- > Obtains required certifications or licenses.
- > Uses expertise to make a work process more efficient by reducing costs, reducing lead times and/or improving accuracy.

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- > Is aware of and uses available resources to find answers, solutions and ideas.

**Quality of work** addresses the level of accuracy and proficiency with which the employee completes assigned work.

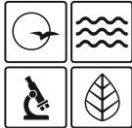
Guidelines for developing performance objectives

- > Ensure projects are completed on time.
- > Day-to-day activities occur as scheduled.
- > Work products (e.g. reports, registrations, inspections, etc.) are complete, accurate, timely and understandable.
- > Reduce workplace injuries.
- > Reduce incidents of client/resident/inmate abuse and neglect.
- > Assessment of the consequence of errors upon operations, reports, service delivery, etc.

**Situational responsiveness** is the broadest component and provides an opportunity to consider the employee's ability to exhibit stability and consistency of performance under pressure, challenge, opposition, confrontation, heavy work load, criticism and changing priorities. This addresses the employee's skills and abilities to respond to internal and external stakeholders, develop and maintain effective relationships, respond to inquiries and circumstances as necessary as well as the employee's ability to tolerate stressful situations, adapt to changes and remain alert and aware of his or her surroundings. This includes the employee's proficiency and accuracy of written and verbal communication as well as the employee's ability to maintain the appropriate balance between tact and firmness. Objectives for this component can vary depending on the mission and focus of the particular position. This component encompasses the performance related accomplishments/problems typically associated with the employee's work attitude and demeanor that can be difficult to objectively evaluate on their own.

Guidelines for developing performance objectives

- > Respond to/track customer complaints and concerns.
- > Provides effective customer service.
- > Maintain appointment schedules to reduce customer wait times.
- > Effectively communicate with family members of clients/residents/inmates.
- > Exhibits a willingness to work in teams.
- > Communicates openly and honestly with superiors, peers and subordinates.
- > Does not show bias or favoritism toward any groups or individuals.
- > Exhibits approachability toward staff and actively listens to new ideas.
- > Does not intentionally avoid needed negative or unpleasant interaction.
- > Understands the need for and values diversity in the workplace.
- > Maintains a professional attitude when receiving new assignments.

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- > Remains calm and reasonable in tense situations.
- > Delivers negative feedback to subordinate staff in a constructive and private manner.
- > Is able to shift focus based on the priorities of the organization without negatively impacting the organization's mission.
- > Is willing to accept constructive feedback.
- > Participates, contributes and listens during meetings, presentations, training and other group discussions (includes not answering cell phones or holding side-bar discussions).
- > Proactively address health and safety risks prior to injuries.

**Initiative** addresses the employee's ability and desire to actively seek out new solutions, tasks, opportunities or development that improve the department's ability to accomplish its mission in a more effective and efficient manner as well as improve the employee's value to the department while furthering his or her own professional development.

Guidelines for developing performance objectives

- > Employee seeks to assist team members and supervisors beyond the regular position requirements.
- > Looks for opportunities to improve processes that lead to reduced costs, reduced lead times and/or increased accuracy.
- > Acts independently without specific instruction, as appropriate.
- > Employee is results oriented, where applicable.
- > Notices problems and develops options for potential solutions.

**Dependability** addresses the employee's ability to complete assignments accurately and on-time as well as the employee's ability to follow required procedures and guidelines. This area may also be used to assess the employee's attendance for attendance sensitive functions.

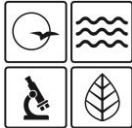
Guidelines for developing performance objectives

- > Meet prescribed project deadlines as assigned.
- > Responds to inquiries (calls, emails, etc.) from stakeholders in a timely manner.
- > Arrives to work on time and minimizes unscheduled absences.
- > Schedules sick and annual leave responsibly.
- > Does not abuse sick leave.

**Performance planning and documentation** addresses the employee's ability to ensure adequate supervision of staff, primarily focusing on the accuracy and completion of the performance appraisals of subordinate staff.

Guidelines for developing performance objectives

- > Performance appraisals of supervised staff are completed on time.

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- > Distribution of overall performance rating scores of all direct and indirect subordinates conforms to the guidelines as indicated by the statewide policy.
- > All performance rating appeals are resolved prior to fiscal year end.
- > Performance objectives are clearly outlined and communicated to employees at the beginning of each appraisal period.

**Leadership** addresses the employee's ability to effectively motivate, direct and enhance the performance of employees.

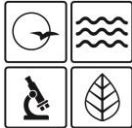
Guidelines for developing performance objectives

- > Clearly communicates directions but allows staff to complete assigned work.
- > Delegates effectively.
- > Motivates direct reports, peers and other team members.
- > Identifies and provides professional development opportunities for staff.
- > Does not avoid necessary unpleasant discussions and actions.

**Management skills** address the employee's ability to oversee a process or project; the ability to organize, plan and strategize; exhibit judgment and independent discretion; and use resources effectively.

Guidelines for developing performance objectives

- > Clearly assigns and identifies areas of responsibility for all staff.
- > Sets clear objectives and measures.
- > Monitors processes, progress and results.
- > Clearly sets and communicates priorities or organization.
- > Makes timely and consistent decisions that lead to favorable results.
- > Probes multiple sources to obtain answers.
- > Objectively evaluates data and information without allowing expected or desired outcomes to bias analysis.
- > Effectively manages time of self and all direct or indirect reports.
- > Avoids duplication or redundancies of work.
- > Regularly seeks out opportunities to reduce operating costs without decreasing services. Staff is able to obtain necessary supplies, equipment and training to perform effectively.

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**Attachment 2**  
**Missouri Department of Natural Resources**  
**Performance Improvement Plan Template**

*This template contains the minimum required for performance management. Other information can be included as understand by both the employee and the supervisor.*

**Employee's name** \_\_\_\_\_ **Title or position** \_\_\_\_\_

**Unit/Section/Program** \_\_\_\_\_

*What specific performance plan component and objective(s) need to be improved?*

**What specific actions are needed to improve performance and by when (the due date)**

**How will the employee know that work is successfully accomplished?**

*Are any objectives being changed?*

*Is additional training required or desired?*

*When is our next discussion?*

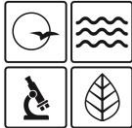
*Where can I get assistance?*

**Employee's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Supervisor's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Reviewer's signature** \_\_\_\_\_ **Date** \_\_\_\_\_



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### Attachment 3

This memo is to be used as a cover memo when delivering a special performance plan to an employee.

#### MEMORANDUM

DATE:

TO:           <EMPLOYEE NAME>, <JOB TITLE>  
              <WORK LOCATION>

FROM:       <Program Director>, Job Title  
              <Work Location>

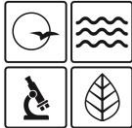
SUBJECT:    90-day Performance Improvement Plan

Enclosed please find a “Performance Improvement Plan” for the 90-day period beginning <date> and ending <date>. You received a “Needs Improvement” performance appraisal for calendar year \_\_\_\_\_, which was presented to you on <date>. A rating of Needs Improvement requires the employee to be placed on a performance improvement plan to monitor performance and for the supervisor to meet with the employee on a regular basis in an effort to bring performance to a successful level. At the end of this 90-day period, a special performance appraisal will be completed based on your job performance during this time.

Your supervisor, <immediate supervisor> will meet with you every <at least every 2> weeks to discuss and document your progress and provide necessary guidance. <He/She> will schedule these meetings with you within one week from the date of this memorandum. Please note that if you do not bring your performance to a successful level, and maintain successful performance during and beyond this 90-day time period, further action will be taken which may include termination of your employment.

It is the hope of this agency that you will be a successful and productive employee.

c:       <Division Director>, <Title>, <Work Location>  
          <Deputy Division Director>, <Title>, <Work Location>  
          <Reviewer (if not Program Director)>, <Title>, <Work Location>  
          <Immediate Supervisor>, <Title>, <Work Location>  
          Lori Hogue, Director, Human Resources Program

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### Attachment 4

If an employee has to be placed on an extended performance plan (beyond the original 90-day plan), depending on the improvement level of the employee, then the following letter might be beneficial in sending to the employee. This letter will be sent from the Human Resources Director in concurrence with the Division Director and/or Program Director.

Employee Name

RE: Unacceptable Performance

Dear:

You received a "Needs Improvement" performance appraisal for calendar year \_\_\_\_, which was presented to you on \_\_\_\_\_. In an effort to bring your performance to a successful level, you were placed on a special performance plan for \_\_\_\_ days effective \_\_\_\_\_ and ending \_\_\_\_\_. During this time period, your performance was monitored by your supervisor, who met with you on a regular basis to discuss and document your progress and to provide necessary guidance.

You have received another "Needs Improvement" appraisal and were again placed on an extended \_\_\_\_-day special performance plan which was presented to you on \_\_\_\_\_. This continued less than successful performance is not acceptable and will no longer be tolerated. Your pattern of needs improvement performance appraisals shows that you have not become a successful employee.

Please note that if you do not bring your performance to a successful level, and maintain successful performance during and for a minimum of 18 months beyond this \_\_\_\_-day extended special performance plan period, further action will be taken which will most likely result in the termination of your employment as allowed under state regulations.

1 CSR 20-3.070 (2) (B) of the Rules of the Personnel Advisory Board and Personnel Division lists as causes for dismissal:

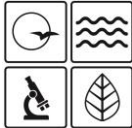
- (B) Is incompetent, inadequate, careless or inefficient in the performance of the duties of his/her position or has failed to meet established minimum standards in the performance of those duties;

It is the hope of this agency that you will be a successful and productive employee.

Sincerely,

DEPARTMENT OF NATURAL RESOURCES

Human Resources Director

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Appointing Authority

c: Division Director  
Program Director  
Supervisor  
Jennifer Eddy, Employee Relations Director  
Personnel File

## Attachment 5

### PERforM Reports

The reports area will be developed as further information is published by OA.


Standard reports are available in PERforM, with access being designated by the user's security level. For regular use, reports can be utilized to provide the appraisal history of an employee. During the rating period, reports will assist in monitoring the status of performance appraisals. They will identify the number of performance appraisals that are exempt, complete, pending/incomplete, or missing. At the end of the rating period, when all appraisals are complete, the Division of Personnel and each applicable agency can review and analyze statistical reports to develop and supplement personnel-related recommendations regarding the performance of state employees.

### Security information

The System Administrator Group will include designated individuals of the Division of Personnel. These individuals will have access to information for all employees in the PERforM system.

The Agency Administrator Group will include individuals designated by agency/ organization. These individuals will have access to information for employees specific to their agency/organization. The top-level designees maintain appropriate users in their agency administrator group, troubleshoot employee logon problems (security--validating employees, PUD3 maintenance, etc.), and reporting. The access for the lower level designees may be restricted to report utilization only.

The Supervisor/Reviewer Group consists of individuals with supervisor responsibilities. These individuals will have access to information for specific employees under their authority.

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## **Attachment 6**

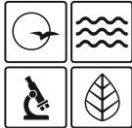
### **STANDARDIZE PERFORMANCE OBJECTIVES FOR EMPLOYEES**

#### **Knowledge of Work**

1. Participate in training and development opportunities as designated in annual training plan.
2. Learn and adhere to state, department, division and local administrative policies and procedures.
3. Demonstrates technical competency/expertise in (area of responsibility.) NOTE: Add what that area of responsibility is)
4. Keeps abreast of current developments within (area of responsibility.) NOTE: Add what that area of responsibility is)
5. Displays understanding of how job relates to others (within area) and in compliance with agency's mission and standards. NOTE: Can state specific area of responsibility)

#### **Quality of Work**

1. Develop personal tickler system for due dates which includes a method for responding quickly to supervisory requests.
2. Ability to prioritize work assignments to ensure both routine and unexpected tasks is successfully completed.
3. Communicates clearly and effectively in writing with minimal errors.
4. Follows management procedures, directives, regulations, or technical orders as set forth in policy and procedures, in a professional and respectful manner.
5. Demonstrates quality and accountability in all work activities, and requires minimal supervision.

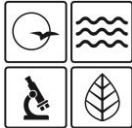
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### **Situational Responsiveness**

1. Responds quickly and accurately to customer complaints--usually within 24 hours. Maintaining a professional demeanor and attitude at all times.. Will inform supervisor of such situations within 24 hours of the occurrence if the situation warrants.
2. Respond to inquiries (phone, in-person, written) in a professional, accurate and timely manner in accordance with agency and/or office policy and procedure.
3. Accept constructive feedback from management in a professional and respective manner and take necessary corrective action.
4. Exhibit willingness to work on a team. Respect the opinions of others on the team. Be willing to compromise when needed in the interest of efficiency and group unity.
5. Seek advice from supervisory staff regarding work assignments and established priorities. Provide regular updates to ensure that he/she is aware of any delay in services or deadlines, complaints/concerns received, accomplishments, and potential problems.
6. Remain aware of the surroundings of the open work environment, minimizing small talk and visiting that might interrupt others in their ability to complete their work. Be respectful and appropriate at all times in accordance to Workplace Awareness training and DNR policy..
7. Communicate openly, honestly and professionally with staff at all levels supporting agency's mission. Show the ability to communicate effectively appropriate and professional. Deal with the differences of opinions in an open and respectful manner. Handle defensive/tense situations in a professional, effective manner.


### **Initiative**

1. Works to accomplish tasks or provide services effectively and efficiently in support of the Agency's mission. Strives for excellence. Structure and perform daily work to accomplish individual and agency goals.
2. Demonstrate creativity and flexibility in meeting challenges and solving problems by seeking new solutions, tasks and opportunities to further the agency's mission.

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### **Dependability**

1. Ensure that time sheets are turned in by established deadlines.
2. Maintain regular attendance during established work hours, informing the supervisor of any itinerary or schedule changes, minimizing unscheduled absences.
3. Arrive to training sessions and meetings in a timely and well prepared manner.
4. Set examples of professionalism when representing DNR by attitude, dress and conduct according to department's policy and/or as situation dictates.
5. Plan absences and notify immediate supervisor as soon as possible, no later than 30 minutes prior to work schedule when sick leave is used so that arrangements can be made to cover work assignments.
6. Maintain a sufficient balance of sick and annual leave to cover unexpected absences.
7. Utilize work time appropriately by comply with established work schedules, including arrival/departure times and lunch/break periods unless prior supervisory approval to alter is granted.
8. Use state resources in compliance with all established policies and procedures to avoid waste and unnecessary repairs.

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## **Attachment 7**

### **STANDARDIZE PERFORMANCE OBJECTIVES FOR MANAGERS**

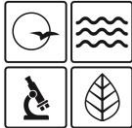
#### **Knowledge of Work**

1. Participate in training and development opportunities as agreed to in annual training plan in accordance to the Management Training Rule set by OA and in compliance with DNR guidelines.
2. Learn and adhere to state, department, division and local administrative policies and procedures. Modeling adherence to these policies to other DNR employees.
3. Demonstrates and models technical competency/expertise in (area of responsibility.) (NOTE: Add what that area of responsibility is)
4. Keeps abreast of current developments within (area of responsibility.) (NOTE: Add what that area of responsibility is)
5. Displays understanding of how job relates to others (within area) and in compliance with agency's mission and standards.(NOTE: Can state specific area of responsibility)
6. Learn and know when situations merit involvement of Human Resources and/or Employee Relations and refer to these departments in a timely and professional manner.

#### **Quality of Work**

1. Develop personal tracking system for due dates which includes a method for responding quickly to direct reports and management request.
2. Ability to prioritize work assignments to ensure both routine and unexpected tasks are successfully completed.
3. Demonstrates good collaboration and listening skills and effective verbal and written communication skills by sharing information, building relationships and influencing positive outcomes.

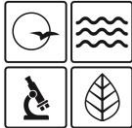


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4. Follows management procedures, directives, regulations, or technical orders as set forth in policy and procedures, in a professional and respectful manner.
5. Demonstrates quality and accountability in areas of responsibility.
6. Ensures compliance with appropriate federal and state laws, state, department, division and local policies and procedures
7. Targets and achieves expected outcomes, established performance expectations and goals, supports and contributes to continual quality improvements that support the department's strategic vision, mission and goals.

#### **Situational Responsiveness**

1. Responds quickly and accurately to direct report and other workers' complaints--usually within 24 hours. Will inform management, Human Resources and/or Employee Relations of such situations that warrant their involvement within 24 hours of the occurrence.
2. Promotes and supports a respectful workplace; complies with and supports DNR policy and/or office policy and procedure. Fosters and models a commitment to customer service, and builds customer confidence.
3. Demonstrating commitment to improving agency atmosphere, services and image by maintaining a professional demeanor and attitude at all times in accordance with agency mission, state, department, division and/or office policy and procedure.
4. Accept constructive feedback from management in a professional and respectful manner and take necessary corrective action when warranted.
5. Exhibit willingness to work on a team. Respect the opinions of others on the team. Be willing to compromise when needed in the interest of efficiency and group unity.
6. Delegate work assignments appropriately to direct reports to fulfill the agency's' Mission and enhance the employees ability for potential career growth.
7. Remain aware of the surroundings of the open work environment, minimizing small talk and visiting that might interrupt others in their ability to complete their work. Be aware of discussing confidential matters in the open work environment Be respectful and appropriate at all times in accordance to Workplace Awareness training and DNR policy.

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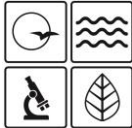
8. Communicate openly, honestly and professionally with staff at all levels supporting agency's mission. Show the ability to communicate effectively, appropriately and professionally. Deal with differences of opinions in an open and respectful manner. Handle defensive/tense situations in a professional, effective manner.
9. Demonstrate good interpersonal skills by treating individuals with dignity and display respect for differences in lifestyle, culture, beliefs and customs in accordance to the department's policy.

### **Initiative**

1. Works to accomplish tasks or provide services effectively and efficiently in support of the Agency's mission. Strives for excellence. Structure and perform daily work to accomplish individual, direct reports, and agency goals.
2. Demonstrate creativity and flexibility in meeting challenges and solving problems by seeking new solutions, tasks and opportunities to further the agency's mission, enhancing employee's ability for career growth and excellence in performance

### **Dependability**

1. Ensure that time sheets are turned in and approved by established deadlines.
2. Maintain regular attendance during established work hours, informing the management and direct reports of any itinerary or schedule changes, minimizing unscheduled absences.
3. Arrive to training sessions and meetings in a timely and well prepared manner.
4. Set examples of professionalism when representing DNR by attitude, dress and conduct according to department's policy and/or as situation dictates.
5. Notify immediate supervisor as soon as possible, no later than 30 minutes prior to beginning of scheduled shift when sick leave is used so that arrangements can be made to cover work assignments.
6. Maintain sufficient balance of sick and annual leave to cover unexpected absences.
7. Utilize work time appropriately. Modeling adherence to the department's policies on work schedules, including arrival/departure times and lunch/break periods.

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8. Use state resources in compliance with all established policies and procedures to avoid waste and unnecessary repairs. Setting an example in respect of state property.

### **Performance Planning and Documentation**

1. Ensure all performance appraisals are complete for division and department review and approval no later than January 31 in accordance with DNR policy; Chapter 4, Number 4.03.
2. Conduct all performance appraisals with your direct report between March 1<sup>st</sup> to March 24<sup>th</sup> in accordance with DNR policy, Chapter 4, Number 4.03.
3. Develop performance objectives for your direct reports no later than March 31<sup>st</sup>, which follow the SMART formula and comply with the guidelines for the PERforM system of employee performance appraisals in accordance with DNR policy, Chapter 4, Number 4.03.
4. Provides feedback, engages in ongoing meaningful dialogue, and conducts Performance reviews periodically, no less than semi annual to determine how close staff is to attaining their objectives.
5. Objectively evaluates performance of their direct reports. Documenting employees performance and conduct, both positive and in areas of concern regularly.

### **Leadership Skills**

1. Works to improve employee performance through training, mentoring, and coaching. Determines if employee has appropriate tools to do the job; addresses shortfalls
2. Will address situations in the work environment by responding quickly and in a professional manner that is appropriate to each situation. Reporting situations that merit additional direction to Human Resources and Employee Relations in a timely manner.
3. Develop a training plan with each direct report for each fiscal year according to their specific needs that enhances the agency mission.
4. Models ethical behavior and decision-making while creating and maintaining a productive environment fostering commitment to the department, modeling positive examples, and mentoring staff.

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### **Management Skills**

1. Line up mission and department objectives with individual and team accountability by adhering to laws and regulations governing merit-systems principles, prohibited personnel practices, and equal employment opportunity.
2. Make timely and rational decisions based on analysis of relevant information/data. Accepts responsibility for decisions and takes proper action when necessary.
3. Insures a safe and hostile free workplace treating all employees with respect and dignity and addressing all concerns and complaints in accordance to DNR policy.
4. Knowing and following the proper administrative policies and reporting procedures when situations arise that should involve and possibly be addressed by other managers or entities.
5. Budgets are prepared to support organization objectives.

## Flow Chart for Annual Performance Planning and Appraisal

